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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/980,744	11/15/2001	Jack M. Birnbaum	GIC-576	7576
7590	04/04/2006		EXAMINER PRICE, NATHAN E	
Barry R Lipsitz 755 Main Street Bldg 8 Monroe, CT 06468			ART UNIT 2194	PAPER NUMBER
DATE MAILED: 04/04/2006				

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No. 09/980,744	Applicant(s) BIRNBAUM ET AL.	
	Examiner Nathan Price	Art Unit 2194	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 20 January 2006.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-30 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-30 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.


Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____.

- 4) ☐ Interview Summary
Paper No(s)/Mail Date: _____.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____.


WILLIAM THOMSON
SUPERVISORY PATENT EXAMINER

DETAILED ACTION

1. Claims 1 – 30 are pending.

Claim Rejections - 35 USC § 102

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this

Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

3. Claims 1 – 30 are rejected under 35 U.S.C. 102(b) as being anticipated by Thrift et al. (Thrift, Philip and Todd Killian "JTV – Java-enabled Television.").

4. As to claim 1, Thrift et al. disclose an apparatus for providing a software architecture for implementing a television subscriber terminal, comprising:

a computer readable medium having computer program code means

(computer readable medium is inherent); and

means for executing said computer program code means to implement a layered software architecture including (execution of computer program code is inherent):

a first layer supporting hardware of the terminal (section 2 first full paragraph lines 1 – 2);

Art Unit: 2194

a second layer comprising at least one device driver (section 2 first full paragraph lines 1 – 2);

a third layer comprising an interface for the at least one device driver (section 2 first full paragraph lines 1 – 3, there must be an interface to allow the JVM to use the hardware);

a fourth layer comprising core system software for providing television functions (section 2 first full paragraph lines 3 – 4);

said fourth layer also including a kernel abstraction function which, together with said third layer, enables said core system software to operate in different operating environments (section 2 first full paragraph lines 1 – 2);

a fifth layer for middleware porting (Figure 2 and section 3 paragraph 1);

an operating system kernel at said fourth and fifth layers (section 2 first full paragraph lines 1 – 2); and

a sixth layer providing middleware to interface with at least one application program (Figure 2; section 3 paragraph 1 and list).

5. As to claim 2, the apparatus of claim 1 is rejected for the reasons above. Thrift et al. also disclose that an operating environment comprises said middleware, middleware porting (section 5 paragraph 1), and operating system kernel (section 2 first full paragraph lines 1 – 2).

6. As to claim 3, the apparatus of claim 1 is rejected for the reasons above. Thrift et al. also disclose that an operating environment comprises said

Art Unit: 2194

middleware, middleware porting (section 5 paragraph 1), operating system kernel, and device driver (section 2 first full paragraph lines 1 – 2).

7. As to claim 4, the apparatus of claim 1 is rejected for the reasons above.

Thrift et al. also disclose that an operating environment comprises said middleware, middleware porting (section 5 paragraph 1), operating system kernel, device driver (section 2 first full paragraph lines 1 – 2), and application program (section 5 paragraph 1).

8. As to claim 5, the apparatus of claim 1 is rejected for the reasons above.

Thrift et al. also disclose that the television subscriber terminal receives television signals via a broadband communication network (section 3 sentence 3).

9. As to claim 6, the apparatus of claim 1 is rejected for the reasons above.

Thrift et al. also disclose that the television functions include at least one of:

- message reception and distribution;
- system information processing;
- terminal configuration;
- terminal control message processing;
- service acquisition;
- conditional access control;
- download capability;

Art Unit: 2194

return path communication ("backchannel data transfer" section 2 item 6 in list); and
diagnostic data management.

10. As to claim 7, the apparatus of claim 1 is rejected for the reasons above. Thrift et al. also disclose that the television functions include conditional access services, including at least one of:

object authentication;
object authorization (section 5 last paragraph);
resource authentication;
baseline privacy key exchange services; and
cryptographic functions.

11. As to claim 8, the apparatus of claim 1 is rejected for the reasons above. Thrift et al. also disclose that the kernel abstraction function provides kernel calls and kernel-specific translations for the operating system kernel (section 2 first full paragraph lines 1 – 2).

12. As to claim 9, the apparatus of claim 1 is rejected for the reasons above. Thrift et al. also disclose that the kernel abstraction function isolates the core system software from portions of the operating system kernel that are specific to an operating environment (section 2 first full paragraph lines 1 – 2).

Art Unit: 2194

13. As to claim 10, the apparatus of claim 1 is rejected for the reasons above.

Thrift et al. also disclose that the interface for the at least one device driver isolates the core system software from portions of the device driver that are specific to an operating environment (section 2 first full paragraph lines 1 – 2).

14. As to claim 11, the apparatus of claim 1 is rejected for the reasons above.

Thrift et al. also disclose that the operating system kernel provides multithreading, real-time operating system support needed to operate the terminal (section 2 first full paragraph lines 1 – 2).

15. As to claim 12, the apparatus of claim 1 is rejected for the reasons above.

Thrift et al. also disclose that the operating system kernel provides facilities for the terminal that are specific to an operating environment, including at least one of: multi-tasking, inter-task communication, messaging, synchronization, memory management, and event management (section 2 first full paragraph lines 1 – 2, it is inherent that such an RTOS would provide some form of memory management).

16. As to claim 13, the apparatus of claim 1 is rejected for the reasons above.

Thrift et al. also disclose that the architecture further includes a software interface between the core system software and the fifth layer that enables said core system software to operate in the different operating environments (section 5 paragraph 1).

17. As to claim 14, the apparatus of claim 13 is rejected for the reasons above. Thrift et al. also disclose that the software interface isolates the core system software from portions of the middleware and middleware porting that are specific to an operating system (section 5 paragraph 1).

18. As to claim 15, the apparatus of claim 13 is rejected for the reasons above. Thrift et al. also disclose that the software interface isolates the core system software from portions of the application program that are specific to an operating environment (section 5 paragraph 1).

19. Claims 16 – 30 are method claim equivalents to the apparatus claims 1 – 15. Therefore, claims 16 – 30 are rejected for the same reasons as claims 1 – 15, respectively.

Response to Arguments

20. Applicant's arguments filed 20 January 2006 have been fully considered but they are not persuasive.

21. Applicant argues that "Thrift only discloses three actual layers" (REMARKS page 4 ¶ 3) as opposed to the claimed 6 (not including the application layer). However, Thrift discloses, "Above the set-top or TV hardware, there is a TV-oriented RTOS for which various device drivers and a Java Virtual

Art Unit: 2194

Machine (JVM) have been implemented” (section 2 ¶ 1 lines 1 – 2). Although Figure 1 only shows three layers (not including the application layer), the disclosure clearly indicates that there are device drivers above the hardware, implemented for the RTOS. These device drivers provide another layer of abstraction, one that allows the RTOS to operate on the hardware. Based on this and the rest of the reference, Thrift discloses a first layer (hardware); a second layer (device driver); a third layer (interfaces must exist for the higher levels of abstraction to operate using the drivers of the lower levels); a fourth layer (JTV); said fourth layer also including a kernel abstraction function enabling operation in different operating environments (JVM allows Java programs to be platform independent); a fifth layer for middleware porting (necessary for the JTV Player to be able to communicate in order to perform operations such as sending tuner commands, section 3 #4); an OS kernel at the fourth and fifth layers (RTOS); and a sixth layer (JTV Player).

22. Applicant also argues “Thrift is devoid of the notion of operating in different operating environments” (page 4 ¶ 3 of REMARKS). However, Thrift discloses that a Java Virtual Machine (JVM) is included in the design. Hardware independence is an integral part of the design of Java and Java Virtual Machines. Therefore, specifying the use of a Java Virtual Machine results in the design being hardware independent and enables operation in different operating environments.

Conclusion

23. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the mailing date of this final action.


24. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Nathan Price whose telephone number is (571) 272-4196. The examiner can normally be reached on 7:30am - 4:00pm, Monday - Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, William Thomson can be reached on (571) 272-3718. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2194

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Nathan Price


WILLIAM THOMSON
SUPERVISORY PATENT EXAMINER